



**SLRM**  
STATE AND LOCAL  
**RECORDS**  
MANAGEMENT

# Records Management and Open Government

Presented by Bonnie Zuber

**Texas State Library  
and Archives Commission**  
<https://www.tsl.texas.gov>

"The views expressed in this presentation are those of the author and not necessarily those of the conference sponsor."



# What is Records Management?

“The application of management techniques to the **creation, use, maintenance, retention, preservation, and disposal of records** for the purposes of reducing the costs and improving the efficiency of recordkeeping.”

LGC § 201.003

# Records Life Cycle



**Permanent:  
Transfer to  
Archives**

**Creation/  
Receipt**

**Maintenance  
and Use**

**Disposition**



**Retention  
met:  
Destroy**

# Why do we have RM laws/rules?



**Public  
Information Act**  
(Government  
Code Chapter 552)

**Open Meetings Act**  
(Government Code  
Chapter 551)

**Local Government  
Records Act**  
(Local Government Code  
Chapters 201-205)

# Why Records Management?

- Legal requirement
- Efficiency
- Records protection
- Timely disposition
- Cost reduction
- Legal protection



# Can't we just keep everything?

There are **consequences** for keeping things too long...

- Decreased efficiency
- Loss of responsibility for protecting records
- Higher storage costs (physical & electronic)
- Legal risk



# Can't we just get rid of it all?



## **Intentional destruction is unlawful**

- Except for a court order from a judge!

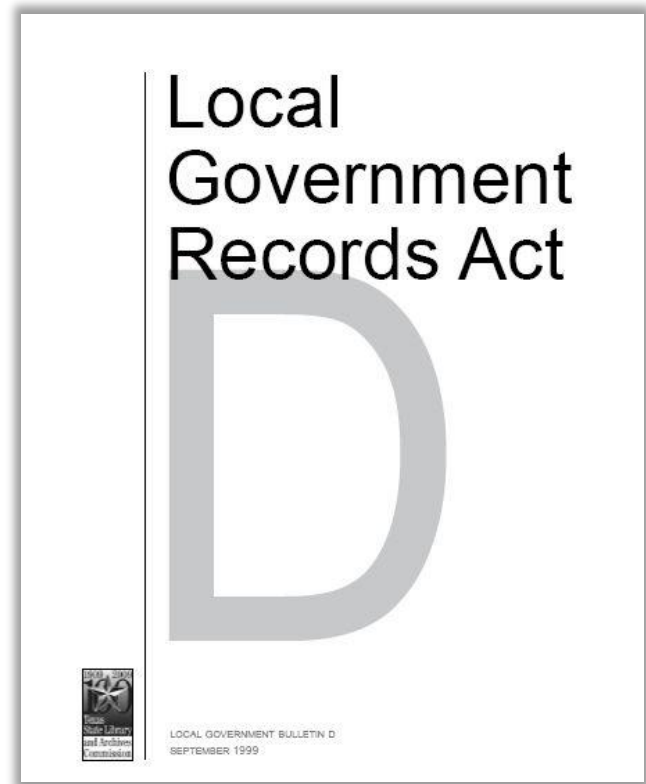
## Consequences for early destruction:

- Criminal penalties and fines under the Public Information Act
- Public perception

# Local Government Records Act

## Published as Bulletin D

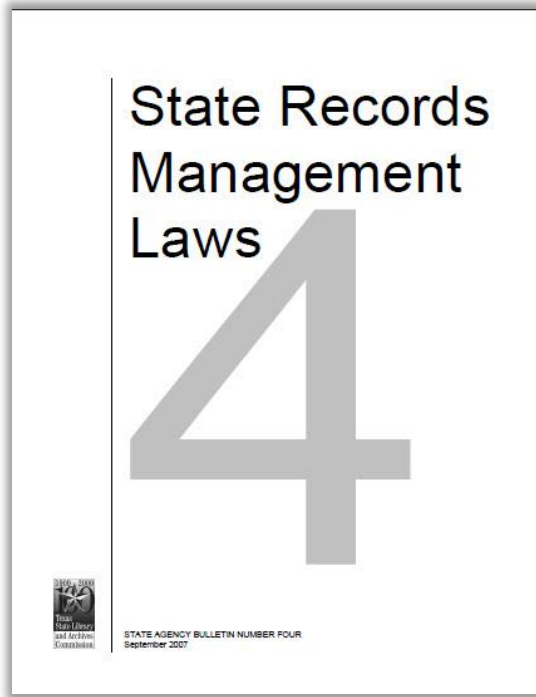
- Definitions
- Local authority
- Role of Records Management Officer (RMO)
- Compliance requirements



<http://bit.ly/bulletind>



# State Records Management Laws



## Published as Bulletin 4

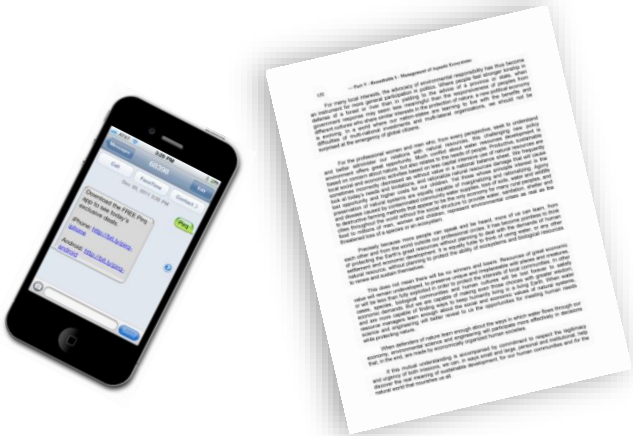
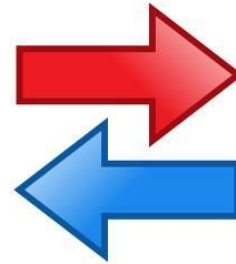
- Definitions
- Roles & responsibilities
  - TSLAC: rulemaking authority and assistance
  - State Agency Heads and Records Management Officers
- Preservation

<http://bit.ly/Bulletin4>

# RECORDS RETENTION

# Local Government Record

- Documents the transaction of public business
- Is created or received by a local government
- Is a record whether it is open or closed
- May exist in any medium





- ✖ **Convenience copies** (LGC §201.003(8)(A))
  - ✖ Copies of documents furnished to the public as part of a Public Information Act request
- ✖ Blank forms/stocks of publications
- ✖ Library or museum materials
- ✖ Alternative Dispute Resolution working files



# Public Information

(c) The general forms in which the media containing public information exist include a book, paper, letter, document, e-mail, Internet posting, text message, instant message, other electronic communication, printout, photograph, film, tape, microfiche, microfilm, photostat, sound recording, map, and drawing and a voice, data, or video representation held in computer memory.



Texas Government Code, § 552.002 (Texas Public Information Act)

# Designating a “Record Copy”

Which copy of a record needs to be kept for the full retention period?



# Records Retention Schedule

- A document that lists the records series of an organization, with mandatory minimum retention periods for each records series.
- Same retention regardless of medium



# Record Series

A grouping of records serving the same function; kept the same length of time.

## GR1050-14 Employment Applications

App Form



Resume



Cover  
letter



Transcript



Letters of  
Reference





# Retention Period

Minimum length  
of time you must  
keep a record.

GR1050-14  
**Employment  
Applications**

**2 years**

**App Form**



**Resume**



**Cover  
letter**



**Transcript**



**Letters of  
Reference**



# Local Retention Schedules

## GR – General Records



CC – County Clerk

DC – District Clerk

EL – Elections/Voter

HR – Health

JC – Junior Colleges

LC – Justice/Municipal Courts

PS – Public Safety

PW – Public Works

SD – Schools

TX – Taxation

UT – Utility Services

<http://bit.ly/localschedules>



# State Retention Schedules

- Texas State Records Retention Schedule (RRS)
  - <http://bit.ly/state-rrs4>
- Agency Retention Schedules
  - <http://bit.ly/stateschedules>

# RECORDS DISPOSITION

# Why dispose of records?

- Creates room
- Reduces operating, equipment, storage, supply, and personnel costs
- Speeds up retrieval
- Provides legal protection (when done properly)



# Records Disposition Log



- A log of the records to be destroyed
- Required for state agencies
- Not required for local governments, but strongly recommended
- Download a blank form at <http://bit.ly/dispositionlog>

## Records Disposition Log

Prepared by Unit Liaison: Name \_\_\_\_\_ Date \_\_\_\_\_

Unit Manager Approval Signature: \_\_\_\_\_ Date \_\_\_\_\_

Judge Approval Signature: \_\_\_\_\_ Date \_\_\_\_\_

Information from the Records Retention Schedule				Disposition Method: See legend below		Enter "X" after approved →		
Record Number	Records Series Title	Retention Period	From-To Dates of Records	Action	Volume	Actual Disposition Date	Initial	See Att
LC2350-04b	Criminal Case Papers – Dismissed	Dismissal + 1 years	January 2004- January 2011	S	50 boxes	2-12-13		X
LC2350-06b	Criminal Docketing Records	5 years	2003-2007	D	35 GB	2-12-13		
LC2350-05	Parking Tickets	6 months	January 1995 – July 2012	S	100 boxes	2-12-13		
LC2350-08c	Returned Jury Summonses	1 year	2006-2011	S	10 boxes	2-12-13		
LC2350-10a	Office of Court Administration (OCA) Statistical Reports	3 years	2005-2009	D	10 MB	2-12-13		
LC2375-02a(2)	Inquest Records	PERMANENT	1987-2012	A	80 boxes	2-12-13		
GR1050-54b	Leave Records – leave requests	FE+3	FY07-FY09	D	65 KB	2-12-13		

### Legend

**Retention Period Codes:** FE/Fiscal year; AC/See Ret Schedule; US/Until superseded; CE/Calendar year; LA/Life of Asset; AV/Administratively Valuable; PM/Permanent

**Actions:** R/Recycling (open records only); S/Shred; B/Burn; P/Pulp; D/Delete electronic records; A/Transfer to County Archives; AR/Archival Review needed

**Disposition Date:** AFTER NOTIFICATION OF APPROVAL-Date put in recycling; added to locked bin for confidential shredding; deleted; or sent to Archives

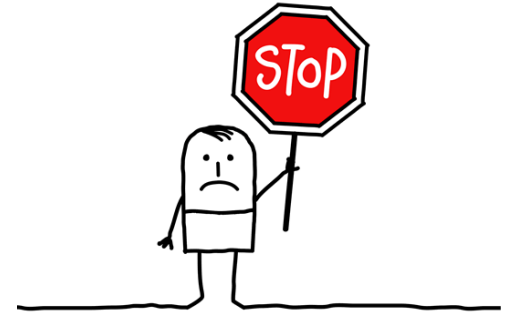
**See Att (See Attachment):** Put an X in this field if there is an attachment giving more detail about the records being destroyed.

# Destruction Holds

**If:**

- Litigation
- Public Information Request
- Audit, Claim, Negotiation
- Administrative Review
- Other action involving the record;

**Then:**



- “may not be destroyed until the completion of the action and the resolution of all issues that arise from it.”

Gov. Code §441.187

LGC §202.002



# RESOURCES

# Records Management Assistance

- Local Governments:  
<http://bit.ly/lg-contact>
- State Agencies:  
<http://bit.ly/state-contact>
- Main line: 512-463-7610
- [slrm\\_info@tsl.texas.gov](mailto:slrm_info@tsl.texas.gov)

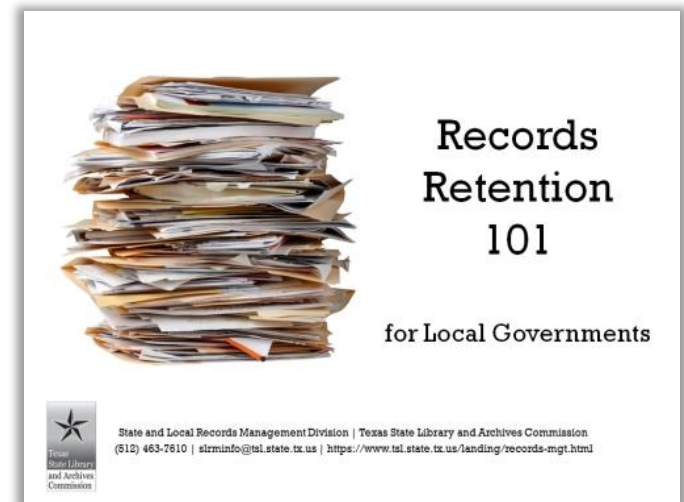


# Continuing Education

## Archived Webinars:

<http://bit.ly/slrm-training>

- Managing email
- Storage Rules
- Imaging projects
- Shared drive management
- Disaster recovery/salvage
- And more!



# Stay Informed!

<http://bit.ly/texasrecord/>



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# QUESTIONS?

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